

Doc.

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

10/656,722

Filing Date

September 5, 2003

First Named Inventor

Lilip Lau

Art Unit

3736

Examiner Name

Unassigned

Attorney Docket Number

PARCR 66117

ENCLOSURES (Check all that apply)☐ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/
Incomplete Application☐ Reply to Missing Parts under
37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a
Provisional Application☐ Power of Attorney, Revocation
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) _____☐ Landscape Table on CD☐ After Allowance Communication
to TC☐ Appeal Communication to Board
of Appeals and Interferences☐ Appeal Communication to TC
(Appeal Notice, Brief, Reply)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please
identify below):**Postcard
3 References**

Remarks

24201

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

FULWIDER PATTON LEE & UTECHT, LLP

Signature

Printed name

JOHN S. NAGY, ESQ.

Date

June 29, 2005

Reg. No.

30,664

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

Signature

Typed or printed name

JOHN S. NAGY, ESQ.

Date

June 29, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Mail Stop AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on June 29, 2005.



John S. Nagy, Reg. No. 30,664

A handwritten signature in cursive script, appearing to read "John S. Nagy".

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/656,722
Applicants : Lilip Lau, Steven Meyer, Matthew G. Fishler, Craig Mar, Anuja J. Patel, Sieu Duong
Filed : September 5, 2003
Art Unit : 3736
Examiner : Unassigned
Title : CARDIAC HARNESS

Docket No.: : PARCR 66117
Customer No. : 24201

Mail Stop AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Dear Sir:

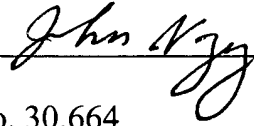
The documents listed on the enclosed Form PTO/SB/08a have come to the attention of Applicant and are submitted to the Office under 37 C.F.R. § 1.97(b)(3) and §1.98(d). A copy of each of the three articles which were not cited on any of the Information Disclosure Statements which were previously submitted to the Patent Office is enclosed. This Information Disclosure Statement is being submitted to correct the publication dates of all the U.S. Patent Documents by including the four-digit year, to

include the name of the inventor(s) for each of the listed U.S. applications, and to submit additional art which has come to the attention of Applicant. It is respectfully requested that the Information Disclosure Statement references now be considered.

Applicant believes that this Information Disclosure Statement has been filed before the mailing date of a first Office action on the merits in accordance with 37 C.F.R. § 1.97(b)(3) and therefore, no fee is due. However, if a fee is in fact due the Commissioner is authorized to charge our Deposit Account No. 06-2425. A duplicate of this paper is enclosed.

Respectfully submitted,

FULWIDER PATTON LEE & UTECHT, LLP

By: 
John S. Nagy
Registration No. 30,664

JSN:jeb
Enclosures

Howard Hughes Center
6060 Center Drive, Tenth Floor
Los Angeles, CA 90045
Telephone: (310) 824-5555
Facsimile: (310) 824-9696
Customer No. 24201
94097.1

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 14

Complete if Known

| | |
|------------------------|-------------------|
| Application Number | 10/656,722 |
| Filing Date | September 5, 2003 |
| First Named Inventor | Lilip Lau |
| Art Unit | 3736 |
| Examiner Name | Unassigned |
| Attorney Docket Number | PARCR 66117 |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|-----------------------|-------------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| | | Number | Kind Code ² (if known) | | | |
| | | 2,278,926 | | 04/07/1942 | Hartwell | |
| | | 2,826,193 | | 03/11/1958 | Vineberg | |
| | | 3,464,322 | | 09/02/1969 | Pequignot | |
| | | 3,513,836 | | 05/26/1970 | Sausse | |
| | | 3,587,567 | | 06/28/1971 | Schiff | |
| | | 3,613,672 | | 10/19/1971 | Schiff | |
| | | 3,966,401 | | 06/29/1976 | Hancock et al. | |
| | | 3,983,863 | | 10/05/1976 | Janke et al. | |
| | | 3,988,782 | | 11/02/1976 | Dardik et al. | |
| | | 4,011,947 | | 03/15/1977 | Sawyer | |
| | | 4,048,990 | | 09/20/1977 | Goetz | |
| | | 4,065,816 | | 01/03/1978 | Sawyer | |
| | | 4,108,161 | | 08/22/1978 | Samuels et al. | |
| | | 4,192,293 | | 03/11/1980 | Asrican | |
| | | 4,211,325 | | 07/08/1980 | Wright | |
| | | 4,261,342 | | 04/14/1981 | Aranguren Duo | |
| | | 4,306,318 | | 12/22/1981 | Mano et al. | |
| | | 4,372,293 | | 02/08/1983 | Vijil-Rosales | |
| | | 4,403,604 | | 09/13/1983 | Wilkinson et al. | |
| | | 4,428,375 | | 01/31/1984 | Ellman | |
| | | 4,512,471 | | 04/23/1985 | Kaster et al. | |
| | | 4,536,893 | | 08/27/1985 | Parravicini | |
| | | 4,545,783 | | 10/08/1985 | Vaughn | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|-----------------------|-------------------------|-------------------------|---------------------|---------------------------------|--------------------------------|---|--|----------------|
| | | Office ³ | Number ⁴ | Kind ⁵ (if known) | | | | |
| | | FR | 2 527 435 | | 12/02/1983 | Serreus | | |
| | | SU | 1009457 | | 04/07/1983 | Kulik | | |
| | | GB | 2 115 287 A | | 09/07/1983 | Sharma | | |
| | | JP | 60-203250 | | 10/14/1985 | Unknown | | |
| | | GB | 2 209 678 A | | 05/24/1989 | Evans | | |
| | | DE | 3831 540 A1 | | 04/06/1989 | Evans | | |
| | | JP | 1-145066 | | 06/07/1989 | Unknown | | |
| | | JP | 1-271829 | | 10/30/1989 | Kogyo | | |
| | | EPO | 0 370 931 A1 | | 05/30/1990 | Perrotin | | |

Examiner
SignatureDate
Considered

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | | | | | |
|--|-------------------------|-------------------------|--------------------------------------|---------------------------------|---|---|---|--|----------------|
| Sheet | | 2 | | of | | 14 | | | |
| | | | | Application Number | | 10/656,722 | | | |
| | | | | Filing Date | | September 5, 2003 | | | |
| | | | | First Named Inventor | | Lilip Lau | | | |
| | | | | Art Unit | | 3736 | | | |
| | | | | Examiner Name | | Unassigned | | | |
| | | | | Attorney Docket Number | | PARCR 66117 | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | |
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | | | |
| | | Number | Kind Code ² (if known) | | | | | | |
| | | 4,628,937 | | 12/16/1986 | Hess et al. | | | | |
| | | 4,630,597 | | 12/23/1986 | Kantrowitz et al. | | | | |
| | | 4,665,906 | | 05/19/1987 | Jervis | | | | |
| | | 4,690,134 | | 09/01/1987 | Snyders | | | | |
| | | 4,697,703 | | 10/06/1987 | Will | | | | |
| | | 4,750,619 | | 06/14/1988 | Cohen et al. | | | | |
| | | 4,821,723 | | 04/18/1989 | Baker, Jr. et al. | | | | |
| | | 4,827,932 | | 05/09/1989 | Ideker et al. | | | | |
| | | 4,834,707 | | 05/30/1989 | Evans | | | | |
| | | 4,838,288 | | 06/13/1989 | Wright et al. | | | | |
| | | 4,840,626 | | 06/20/1989 | Linsky et al. | | | | |
| | | 4,863,016 | | 09/05/1989 | Fong et al. | | | | |
| | | 4,878,890 | | 11/07/1989 | Bilweis | | | | |
| | | 4,936,857 | | 06/26/1990 | Kulik | | | | |
| | | 4,957,477 | | 09/18/1990 | Lundback | | | | |
| | | 4,960,424 | | 10/02/1990 | Grooters | | | | |
| | | 4,973,300 | | 11/27/1990 | Wright | | | | |
| | | 4,976,730 | | 12/11/1990 | Kwan-Gett | | | | |
| | | 5,031,762 | | 07/16/1991 | Heacox | | | | |
| | | 5,057,117 | | 10/15/1991 | Atweh | | | | |
| | | 5,067,957 | | 11/26/1991 | Jervis | | | | |
| | | 5,087,243 | | 02/11/1992 | Avitall | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | | | |
| Examiner Initials* | Cite No ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear | | T ⁶ |
| | | Office ³ | Number ⁴ | Kind ⁵ (if known) | | | | | |
| | | FR | 2 645 739 | | 10/19/1990 | Mentzer et al. | | | |
| | | PCT | WO 91/19465 | | 12/26/1991 | Frater | | | |
| | | SU | 1734767 A1 | | 05/23/1992 | Popov et al. | | | |
| | | EP | 0 280 564 B1 | | 06/16/1993 | Intermedics, Inc. | | | |
| | | DE | 38 31 540 C2 | | 06/24/1993 | Evans | | | |
| | | PCT | WO 95/06447 | | 03/09/1995 | W.L. Gore & Associates | | | |
| | | PCT | WO 96/04852 | | 02/22/1996 | Northrup | | | |
| | | DE | 295 17 393 U1 | | 03/14/1996 | Hohmann et al. | | | |
| | | EP | 0 583 012 B1 | | 07/10/1996 | Heilman et al. | | | |
| Examiner Signature | | | | | Date Considered | | | | |

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| | | | | | | |
|--|--|---|----|--------------------------|------------------------|-------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | | |
| | | | | Application Number | 10/656,722 | |
| Sheet | | 3 | of | 14 | Attorney Docket Number | PARCR 66117 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-------------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | | 5,098,369 | | 03/24/1992 | Heilman et al. | |
| | | 5,106,386 | | 04/21/1992 | Isner et al. | |
| | | 5,119,804 | | 06/09/1992 | Anstadt | |
| | | 5,131,905 | | 07/21/1992 | Grooters | |
| | | 5,150,706 | | 09/29/1992 | Cox et al. | |
| | | 5,169,381 | | 12/08/1992 | Snyders | |
| | | 5,186,711 | | 02/16/1993 | Epstein | |
| | | 5,190,546 | | 03/02/1993 | Jervis | |
| | | 5,192,314 | | 03/09/1993 | Daskalakis | |
| | | 5,197,978 | | 03/30/1993 | Hess | |
| | | 5,256,132 | | 10/26/1993 | Snyders | |
| | | 5,279,539 | | 01/18/1994 | Bohan et al. | |
| | | 5,290,217 | | 03/01/1994 | Campos | |
| | | 5,336,254 | | 08/09/1994 | Brennen et al. | |
| | | 5,344,442 | | 09/06/1994 | Deac | |
| | | 5,352,184 | | 10/04/1994 | Goldberg et al. | |
| | | 5,356,432 | | 10/18/1994 | Rutkow et al. | |
| | | 5,366,460 | | 11/22/1994 | Eberbach | |
| | | 5,383,840 | | 01/24/1995 | Heilman et al. | |
| | | 5,385,156 | | 01/31/1995 | Oliva | |
| | | 5,385,229 | | 01/31/1995 | Bittmann et al. | |
| | | 5,385,528 | | 01/31/1995 | Wilk | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-------------------------|-------------------------|---------------------|---------------------------------|--------------------------------|---|--|----------------|
| Examiner Initials* | Cite No ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind ⁵ (if known) | | | | |
| | | PCT | WO 96/40356 | | 12/19/1996 | EP Technologies, Inc. | | |
| | | PCT | WO 97/20505 | | 06/12/1997 | Loma Linda University | | |
| | | PCT | WO 97/24101 | | 07/10/1997 | Melvin | | |
| | | EP | 0 791 330 A3 | | 08/27/1997 | Cardiothoracic Systems | | |
| | | PCT | WO 98/03213 | | 01/29/1998 | Heartport, Inc. | | |
| | | PCT | WO 98/14136 | | 04/09/1998 | Acorn Medical, Inc. | | |
| | | PCT | WO 98/26738 | | 06/25/1998 | Hearten Medical, Inc. | | |
| | | PCT | WO 98/29041 | | 07/09/1998 | Myocor, Inc. | | |
| | | PCT | WO 98/58598 | | 12/30/1998 | Haindl | | |
| | | PCT | WO 99/11201 | | 03/11/1999 | Endocore, Inc. | | |

| | |
|-----------------------|--------------------|
| Examiner Signature | Date Considered |
|-----------------------|--------------------|

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

| | | | | | | |
|--|--|---|----|--------------------------|------------------------|-------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | | |
| | | | | Application Number | 10/656,722 | |
| Sheet | | 4 | of | 14 | Filing Date | September 5, 2003 |
| | | | | | First Named Inventor | Lilip Lau |
| | | | | | Art Unit | 3736 |
| | | | | | Examiner Name | Unassigned |
| | | | | | Attorney Docket Number | PARCR 66117 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|----------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | | 5,405,360 | | 04/11/1995 | Tovey | |
| | | 5,429,584 | | 07/04/1995 | Chiu | |
| | | 5,460,962 | | 10/24/1995 | Kemp | |
| | | 5,433,727 | | 07/18/1995 | Sideris | |
| | | 5,456,711 | | 07/18/1995 | Hudson | |
| | | 5,500,015 | | 03/19/1996 | Deac | |
| | | 5,507,779 | | 04/16/1996 | Altman | |
| | | 5,509,428 | | 04/23/1996 | Dunlop | |
| | | 5,524,633 | | 06/11/1996 | Heaven et al. | |
| | | 5,533,958 | | 07/09/1996 | Wilk | |
| | | 5,534,024 | | 07/09/1996 | Rogers et al. | |
| | | 5,545,210 | | 08/13/1996 | Hess et al. | |
| | | 5,558,617 | | 09/24/1996 | Heilman et al. | |
| | | 5,571,215 | | 11/05/1996 | Sterman et al. | |
| | | 5,582,616 | | 12/10/1996 | Bolduc et al. | |
| | | 5,584,803 | | 12/17/1996 | Stevens et al. | |
| | | 5,593,424 | | 01/14/1997 | Northrup III | |
| | | 5,593,441 | | 01/14/1997 | Lichtenstein et al. | |
| | | 5,597,378 | | 01/28/1997 | Jervis | |
| | | 5,603,337 | | 02/18/1997 | Jarvik | |
| | | 5,607,477 | | 03/04/1997 | Schindler et al. | |
| | | 5,647,372 | | 07/15/1997 | Tovey et al. | |
| | | 5,647,380 | | 07/15/1997 | Campbell et al. | |
| | | 5,695,525 | | 12/09/1997 | Mulhauser et al. | |
| | | 5,702,343 | | 12/30/1997 | Alferness | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|----------------------|-------------------------|---------------------|---------------------------------|--------------------------------|--|--|----------------|
| Examiner Initials* | Cite No ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind ⁵ (if known) | | | | |
| | | EP | 0 919 193 A1 | | 06/02/1999 | Ethicon Endo-Surgery | | |
| | | PCT | WO 99/30647 | | 06/24/1999 | Myocor, Inc. | | |
| | | PCT | WO 99/44534 | | 09/10/1999 | Melvin | | |
| | | PCT | WO 99/44680 | | 09/10/1999 | Abiomed, Inc. | | |
| | | PCT | WO 99/53977 | | 10/28/1999 | SciMed Life Systems | | |
| | | PCT | WO 99/56655 | | 11/11/1999 | Correstore, Inc. | | |
| | | PCT | WO 00/02500 | | 01/20/1999 | Acorn Cardiovascular | | |
| | | PCT | WO 00/06026 | | 02/10/2000 | Myocor, Inc. | | |
| | | PCT | WO 00/06027 | | 02/10/2000 | Mortier et al. | | |

| | |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| | | | | | | |
|--|--|---|----|--------------------------|------------------------|-------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | | |
| | | | | Application Number | 10/656,722 | |
| Sheet | | 5 | of | 14 | Filing Date | September 5, 2003 |
| | | | | | First Named Inventor | Lilip Lau |
| | | | | | Art Unit | 3736 |
| | | | | | Examiner Name | Unassigned |
| | | | | | Attorney Docket Number | PARCR 66117 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-------------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | | 5,713,954 | | 02/03/1998 | Rosenberg et al. | |
| | | 5,727,569 | | 03/17/1998 | Benetti et al. | |
| | | 5,749,839 | | 05/12/1998 | Kovacs | |
| | | 5,782,746 | | 07/21/1998 | Wright | |
| | | 5,800,334 | | 09/01/1998 | Wilk | |
| | | 5,800,528 | | 09/01/1998 | Lederman et al. | |
| | | 5,814,097 | | 09/29/1998 | Sterman et al. | |
| | | 5,824,028 | | 10/20/1998 | Knisley | |
| | | 5,836,311 | | 11/17/1998 | Borst et al. | |
| | | 5,848,962 | | 12/15/1998 | Feindt et al. | |
| | | 5,849,005 | | 12/15/1998 | Garrison et al. | |
| | | 5,853,422 | | 12/29/1998 | Huebsch et al. | |
| | | 5,865,791 | | 02/02/1999 | Whayne et al. | |
| | | 5,904,690 | | 05/18/1999 | Middleman et al. | |
| | | 5,910,124 | | 06/08/1999 | Rubin | |
| | | 5,927,284 | | 07/27/1999 | Borst et al. | |
| | | 5,948,019 | | 09/07/1999 | Shu et al. | |
| | | 5,957,977 | | 09/28/1999 | Melvin | |
| | | 5,961,440 | | 10/05/1999 | Schweich, Jr. et al. | |
| | | 5,976,069 | | 11/02/1999 | Navia et al. | |
| | | 5,979,456 | | 11/09/1999 | Magovern | |
| | | 5,984,857 | | 11/16/1999 | Buck et al. | |
| | | 5,990,378 | | 11/23/1999 | Ellis | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-------------------------|-------------------------|---------------------|---------------------------------|--------------------------------|---|--|----------------|
| Examiner Initials* | Cite No ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind ⁵ (if known) | | | | |
| | | PCT | WO 00/06028 | | 02/10/2000 | Mortier, et al. | | |
| | | PCT | WO 00/13722 | | 03/16/2000 | SciMed Life Systems | | |
| | | PCT | WO 00/16700 | | 03/30/2000 | Myocor, Inc. | | |
| | | PCT | WO 00/18320 | | 04/06/2000 | Univ. of Cincinnati | | |
| | | PCT | WO 00/28912 | | 05/25/2000 | Acorn Cardiovascular | | |
| | | PCT | WO 00/28918 | | 05/25/2000 | Acorn Cardiovascular | | |
| | | PCT | WO 00/42919 | | 07/25/2000 | Buckberg et al. | | |
| | | PCT | WO 00/45735 | | 08/10/2000 | Acorn Cardiovascular | | |
| | | PCT | WO 00/48795 | | 08/24/2000 | Richebourg | | |

| | |
|-----------------------|--------------------|
| Examiner Signature | Date Considered |
|-----------------------|--------------------|

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

| | | | | | |
|--|--|---|----|--------------------------|---------------------------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 10/656,722 |
| Sheet | | 6 | of | 14 | Filing Date September 5, 2003 |
| | | | | | First Named Inventor Lilip Lau |
| | | | | | Art Unit 3736 |
| | | | | | Examiner Name Unassigned |
| | | | | | Attorney Docket Number PARCR 66117 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-------------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | | 6,007,486 | | 12/28/1999 | Hunt et al. | |
| | | 6,015,378 | | 01/18/2000 | Borst et al. | |
| | | 6,024,096 | | 02/15/2000 | Buckberg | |
| | | 6,045,497 | | 04/04/2000 | Schweich, Jr. et al. | |
| | | 6,050,936 | | 04/18/2000 | Schweich, Jr. et al. | |
| | | 6,059,715 | | 05/09/2000 | Schweich, Jr. et al. | |
| | | 6,071,303 | | 06/06/2000 | Laufer | |
| | | 6,076,013 | | 06/13/2000 | Brennan et al. | |
| | | 6,077,214 | | 06/20/2000 | Mortier et al. | |
| | | 6,077,218 | | 06/20/2000 | Alferness | |
| | | 6,079,414 | | 06/27/2000 | Roth | |
| | | 6,085,754 | | 07/11/2000 | Alferness et al. | |
| | | 6,095,968 | | 08/01/2000 | Snyders | |
| | | 6,110,100 | | 08/29/2000 | Talpade | |
| | | 6,117,159 | | 09/12/2000 | Huebsch et al. | |
| | | 6,117,979 | | 09/12/2000 | Hendriks et al. | |
| | | 6,123,662 | | 09/26/2000 | Alferness et al. | |
| | | 6,125,852 | | 10/03/2000 | Stevens et al. | |
| | | 6,126,590 | | 10/03/2000 | Alferness | |
| | | 6,155,968 | | 12/05/2000 | Wilk | |
| | | 6,155,972 | | 12/05/2000 | Nauertz et al. | |
| | | 6,162,168 | | 12/19/2000 | Schweich, Jr. et al. | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-------------------------|-------------------------|---------------------|---------------------------------|--------------------------------|---|--|----------------|
| Examiner Initials* | Cite No ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind ⁵ (if known) | | | | |
| | | PCT | WO 00/62727 | | 10/26/2000 | Hearten Medical | | |
| | | PCT | WO 00/74769 | | 12/14/2000 | Johns Hopkins Univ. | | |
| | | PCT | WO 01/17437 | | 03/15/2001 | Cardiothoracic Systems | | |
| | | PCT | WO 01/21098 | | 03/29/2001 | Acorn Cardiovascular | | |
| | | PCT | WO 01/50981 | | 07/19/2001 | Acorn Cardiovascular | | |
| | | PCT | WO 01/67985 | | 09/20/2001 | Paracor Surgical | | |
| | | PCT | WO 01/85061 | | 11/15/2001 | Acorn Cardiovascular | | |
| | | PCT | WO 01/91667 | | 12/06/2001 | Cardioclasp, Inc. | | |
| | | PCT | WO 01/95830 | | 12/20/2001 | Acorn Cardiovascular | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| | | | | | |
|--|---|----|----|--------------------------|-------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 10/656,722 |
| | | | | Filing Date | September 5, 2003 |
| | | | | First Named Inventor | Lilip Lau |
| | | | | Art Unit | 3736 |
| | | | | Examiner Name | Unassigned |
| Sheet | 7 | of | 14 | Attorney Docket Number | PARCR 66117 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-------------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | | 6,165,119 | | 12/26/2000 | Schweich, Jr. et al. | |
| | | 6,165,120 | | 12/26/2000 | Schweich, Jr. et al. | |
| | | 6,165,121 | | 12/26/2000 | Alferness | |
| | | 6,165,122 | | 12/26/2000 | Alferness | |
| | | 6,166,184 | | 12/26/2000 | Hendriks et al. | |
| | | 6,169,922 | | 01/02/2001 | Alferness et al. | |
| | | 6,174,279 | | 01/16/2001 | Girard | |
| | | 6,179,791 | | 01/30/2001 | Krueger | |
| | | 6,183,411 | | 02/06/2001 | Mortier et al. | |
| | | 6,190,408 | | 02/20/2001 | Melvin | |
| | | 6,193,648 | | 02/27/2001 | Krueger | |
| | | 6,206,820 | | 03/27/2001 | Kazi et al. | |
| | | 6,214,047 | | 02/10/2001 | Melvin | |
| | | 6,221,103 | | 02/24/2001 | Melvin | |
| | | 6,224,540 | | 05/01/2001 | Ledermann et al. | |
| | | 6,230,714 | | 05/15/2001 | Alferness et al. | |
| | | 6,260,552 | | 07/17/2001 | Mortier et al. | |
| | | 6,261,222 | | 07/17/2001 | Schweich, Jr. et al. | |
| | | 6,264,602 | | 07/24/2001 | Mortier et al. | |
| | | 6,282,445 | | 08/28/2001 | Reinhardt et al. | |
| | | 6,287,250 | | 09/11/2001 | Peng et al. | |
| | | 6,293,906 | | 09/25/2001 | Vanden Hoek et al. | |
| | | 6,306,141 | | 10/23/2001 | Jervis | |
| | | 6,360,749 | | 03/26/2002 | Jayaraman | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-------------------------|-------------------------|---------------------|---------------------------------|--------------------------------|---|--|----------------|
| Examiner Initials* | Cite No ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind ⁵ (if known) | | | | |
| | | PCT | WO 01/95831 | | 12/20/2001 | Acorn Cardiovascular | | |
| | | PCT | WO 01/95832 | | 12/20/2001 | Acorn Cardiovascular | | |
| | | PCT | WO 02/13726 | | 02/21/2002 | Acorn Cardiovascular | | |
| | | PCT | WO 02/19917 | | 03/14/2002 | Converge Medical | | |
| | | PCT | WO 03/026483 | | 04/03/2003 | The Foundry, Inc. | | |
| | | PCT | WO 03/026485 | | 04/03/2003 | The Foundry, Inc. | | |
| | | PCT | WO 03/026484 | | 04/03/2003 | The Foundry, Inc. | | |
| | | PCT | WO/0036995 | | 06/29/2000 | Corset Inc. | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| | | | |
|--|------------------------|--------------------------|-------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Complete if Known | |
| | | Application Number | 10/656,722 |
| | | Filing Date | September 5, 2003 |
| | | First Named Inventor | Lilip Lau |
| | | Art Unit | 3736 |
| | | Examiner Name | Unassigned |
| Sheet 8 of 14 | Attorney Docket Number | PARCR 66117 | |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-------------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | | 6,375,608 | | 04/23/2002 | Alferness | |
| | | 6,390,976 | | 05/21/2002 | Spence et al. | |
| | | 6,402,679 | | 06/11/2002 | Mortier et al. | |
| | | 6,402,680 | | 06/11/2002 | Mortier et al. | |
| | | 6,406,420 | | 06/18/2002 | McCarthy et al. | |
| | | 6,409,760 | | 06/25/2002 | Melvin | |
| | | 6,416,459 | | 07/09/2002 | Haindl | |
| | | 6,425,856 | | 07/30/2002 | Shapland et al. | |
| | | 6,432,039 | | 08/13/2002 | Wardle | |
| | | 6,451,025 | | 09/17/2002 | Jervis | |
| | | 6,482,146 | | 11/19/2002 | Alferness et al. | |
| | | 6,537,203 | | 03/25/2003 | Alferness et al. | |
| | | 6,517,570 | | 02/11/2003 | Lau et al. | |
| | | 6,544,168 | | 04/08/2003 | Alferness | |
| | | 6,547,821 | | 11/11/2003 | Taylor et al. | |
| | | 6,564,094 | | 05/13/2003 | Alferness et al. | |
| | | 6,567,699 | | 05/20/2003 | Alferness et al. | |
| | | 6,569,082 | | 05/27/2003 | Chin | |
| | | 6,572,533 | | 06/03/2003 | Shapland et al. | |
| | | 6,575,921 | | 06/10/2003 | Vanden Hoek et al. | |
| | | 6,582,355 | | 06/24/2003 | Alferness et al. | |
| | | 6,587,734 | | 07/01/2003 | Okuzumi | |
| | | 6,595,912 | | 07/22/2003 | Lau et al. | |
| | | 6,602,184 | | 08/05/2003 | Lau et al. | |
| | | 6,612,978 | | 09/02/2003 | Lau et al. | |
| | | 6,612,979 | | 09/02/2003 | Lau et al. | |
| | | 6,645,139 | | 11/11/2003 | Haindl | |
| | | 6,663,558 | | 12/16/2003 | Lau et al. | |
| | | 6,673,009 | | 01/06/2004 | Vanden Hoek et al. | |
| | | 6,682,474 | | 01/27/2004 | Lau et al. | |
| | | 6,682,475 | | 01/27/2004 | Cox et al. | |
| | | 6,682,476 | | 01/27/2004 | Alferness et al. | |
| | | 6,685,620 | | 02/03/2004 | Gifford, III et al. | |
| | | 6,685,627 | | 02/03/2004 | Jayaraman | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

| | | | | | |
|---|---|----|----|--------------------------|-------------------|
| Substitute for form 1449A/PTO <div style="text-align: center;"> INFORMATION DISCLOSURE STATEMENT BY APPLICANT </div> (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 10/656,722 |
| | | | | Filing Date | September 5, 2003 |
| | | | | First Named Inventor | Lilip Lau |
| | | | | Art Unit | 3736 |
| | | | | Examiner Name | Unassigned |
| | | | | Attorney Docket Number | PARCR 66117 |
| Sheet | 9 | of | 14 | | |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-------------------------|-----------------|--------------------------------------|--------------------------------|---|---|
| Examiner Initials* | Cite No ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| | | 6,689,048 | | 02/10/20/04 | Vanden Hoek et al. | |
| | | 6,695,769 | | 02/24/20/04 | French et al. | |
| | | 6,701,929 | | 03/09/20/04 | Hussein | |
| | | 6,702,732 | | 03/09/20/04 | Lau et al. | |
| | | 6,723,041 | | 04/20/20/04 | Lau et al. | |
| | | 6,730,016 | | 05/04/20/04 | Cox et al. | |
| | | 6,755,779 | | 06/29/20/04 | Vanden Hoek et al. | |
| | | 2001/00293134 | | 10/11/20/01 | Alfermess et al. | |
| | | 2001/0047122 | | 11/29/20/01 | Vanden Hoek et al. | |
| | | 2002/0007216 | | 01/17/20/02 | Melvin | |
| | | 2002/0022880 | | 02/21/20/02 | Melvin | |
| | | 2002/0068849 | | 06/06/20/02 | Schweich, Jr. et al. | |
| | | 2002/007754 | | 06/20/20/02 | Schweich, Jr. et al. | |
| | | 2002/0082647 | | 06/27/20/02 | Alfermess et al. | |
| | | 2002/0091296 | | 07/11/20/02 | Alfermess | |
| | | 2002/0103511 | | 08/01/20/02 | Alfermess et al. | |
| | | 2002/0151950 | | 10/17/20/02 | Okuzumi | |
| | | 2003/0060674 | | 03/27/20/03 | Gifford, III et al. | |
| | | 2003/0060677 | | 03/27/20/03 | French et al. | |
| | | 2003/0060895 | | 03/27/20/03 | French et al. | |
| | | 2003/0199733 | | 10/23/20/03 | Shapland et al. | |
| | | 2003/0199955 | | 10/23/20/03 | Struble et al. | |
| | | 2003/0229265 | | 12/11/20/03 | Girard et al. | |
| | | 2004/0122069 | | 07/08/20/04 | Shapland et al. | |
| | | 2004/0171907 | | 09/02/20/04 | Alfermess et al. | |
| | | 2004/0171908 | | 09/02/20/04 | Alfermess et al. | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

[illegible]

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| | | | | | |
|---|----|----|----|--------------------------|-------------------|
| Substitute for form 1449B/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Application Number | 10/656,722 |
| | | | | Filing Date | September 5, 2003 |
| | | | | First Named Inventor | Lilip Lau |
| | | | | Group Art Unit | 3736 |
| | | | | Examiner Name | Unassigned |
| Sheet | 10 | of | 14 | Attorney Docket Number | PARCR 66117 |

| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS | | | |
|--|-----------------------|--|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | | Bencini, Adriano, M.D., <i>The "Pneumomassage" of the Heart</i> , <u>Surgery</u> , Vol. 39, No. 3, March 1956 | |
| | | Anstadt, George L., et al., <i>A New Instrument for Prolonged Mechanical Cardiac Massage</i> , <u>Abstracts of the 38th Scientific Sessions, Supplement II to Circulation</u> , Vols. 31 and 32, pp. 375-384, October 1965 | |
| | | Lev, Maurice, M.D., et al., <i>Single (Primitive) Ventricle</i> , <u>Circulation</u> , Vol. 39, pp. 577-591 | |
| | | Paling, D.F., <i>Warp Knitting Technology</i> , 1970 | |
| | | Edie, Richard N., M.D., et al., <i>Surgical Repair of Single Ventricle</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 66, No. 3, pp. 350-360, September 1972 | |
| | | McGoon, Dwight C., M.D., et al., <i>Correction of the Univentricular Heart Having Two Atrioventricular Valves</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 74, No. 2, pp. 218-226, August 1977 | |
| | | Doty, Donald B., et al., <i>Septation of the Univentricular Heart: Transatrial Approach</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 78, No. 3, pp. 424-430, September 1979 | |
| | | Schetky, L. McDonald, <i>Shap- Memory Alloys</i> , <u>Scientific American</u> , Vol. 241, No. 5, pp. 74-82, November 1979 | |
| | | Melton, K.N., et al., <i>Alloys With Two-Shape Memory Effect</i> , <u>Mechanical Engineering</u> , pp. 42-43, March 1980 | |
| | | Feldt, Robert H., M.D., et al., <i>Current Status of the Septation Procedure for Univentricular Heart</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 82, No. 1, pp. 93-97, July 1981 | |
| | | Carpentier, A., et al., <i>Myocardial Substitution With Stimulated Skeletal Muscle: First Successful Clinical Case</i> , <u>The Lancet</u> , June 1, 1985 | |
| | | Anstadt, George L. et al., <i>Direct Mechanical Ventricular Actuation: A Review</i> , <u>Resuscitation</u> , pp. 7-23, 1991 | |
| | | Anstadt, Mark P., M.D., et al., <i>Pulsatile Reperfusion After Cardiac Arrest Improves Neurologic Outcome</i> , <u>American Surgery</u> , Vol. 214, No. 4, pp. 478-490, October 1991 | |
| | | Schumacker, Harris B., Jr., <i>Chapter 21: Cardiac Aneurysms</i> , <u>The Evolution of Cardiac Surgery</u> , pp. 159-165, 1992 | |
| | | Savage, Edward B., M.D., et al., <i>Repair of Left Ventricular Aneurysm</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 104, No. 3, pp. 752-762, September 1992 | |
| | | Carpentier, Alain, M.D., Ph.D., et al., <i>Dynamic Cardiomyoplasty at Seven Years</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 106, No. 1, pp. 42-54, July 1993 | |
| | | Capouya, Eli R., M.D., et al., <i>Girdling Effect of Nonstimulated Cardiomyoplasty on Left Ventricular Function</i> , <u>Annals of Thoracic Surgeons</u> , Vol. 56, pp. 867-71, 1993 | |
| | | Chekanov, Valeri, M.D., Ph.D., <i>Nonstimulated Cardiomyoplasty Wrap Attenuated the Degree of Left Ventricular Enlargement</i> , <u>Annals of Thoracic Surgeons</u> , Vol. 57, pp. 1684-1690, 1997 | |
| | | Chiu, Ray C.-J., <i>Using Skeletal Muscle for Cardiac Assistance</i> , <u>Scientific American</u> , pp. 68-77, November/December 1994 | |
| | | Kass, David A., M.D., et al., <i>Reverse Remodeling From Cardiomyoplasty in Human Heart Failure: External Constraint Versus Active Assist</i> , <u>Circulation</u> , Vol. 91, No. 9, pp. 2314-2318, May 1, 1995 | |
| | | Vaynblat, Mikhail, M.D., et al., <i>Cardiac Binding in Experimental Heart Failure</i> , <u>Annals of Thoracic Surgery (Abstract)</u> , Supplement to <u>Circulation</u> , Vol. 92, Suppl. 1, 1995 | |

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| | | | | | |
|--|----|----|----|--------------------------|-------------------|
| Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Complete if Known | |
| | | | | Application Number | 10/656,722 |
| | | | | Filing Date | September 5, 2003 |
| | | | | First Named Inventor | Lilip Lau |
| | | | | Group Art Unit | 3736 |
| | | | | Examiner Name | Unassigned |
| Sheet | 11 | of | 14 | Attorney Docket Number | PARCR 66117 |

| OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS | | | |
|---|-----------------------|--|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | | Levin, Howard R., M.D., et al., <i>Reversal of Chronic Ventricular Dilation in Patients With End-Stage Cardiomyopathy by Prolonged Mechanical Unloading</i> , <u>Circulation</u> , Vol. 91, No. 11, pp. 2717-2720, 1995 | |
| | | Chaudhry, Pervaiz A., M.D., et al., <i>Acute Ventricular Reduction with Acorn's Cardiac Support Device Prevents Progressive Left Ventricular Dysfunction and Remodeling in Dogs With Advanced Heart Failure</i> , <u>Cardiothoracic Surgery</u> , pp. 146-148, 1996 | |
| | | Oh, Joong Hwan, M.D., et al., <i>Mechanisms of Dynamic Cardiomyoplasty: Current Concepts</i> , <u>Journal of Cardiac Surgery</u> , Vol. 11, pp. 194-199, 1996 | |
| | | Badhwar, Vinay, <i>Power Generation From Four Skeletal Muscle Configurations Design Implications for a Muscle Powered Cardiac Assist Device</i> , <u>ASAIO Journal</u> , Vol. 43, pp. M651-M657, 1997 | |
| | | Westaby, Stephen, et al., <i>Landmarks in Cardiac Surgery</i> , pp. 198-199, 1997 | |
| | | Cox, James L., <i>Left Ventricular Aneurysms: Pathophysiologic Observations and Standard Resection</i> , <u>Seminars in Thoracic and Cardiovascular Surgery</u> , Vol. 9, No. 2, pp. 113-122, April 1997 | |
| | | Coletta, C., et al., <i>Prognostic Value of Left Ventricular Volume Response During Dobutamine Stress Echocardiography</i> , <u>European Heart Journal</u> , vol. 18, pp. 1599-1603, October 1997 | |
| | | Capomolla, Soccorso, M.D., et al., <i>Dobutamine and Nitroprusside Infusion in Patients With Severe Congestive Heart Failure: Hemodynamic Improvement by Discordant Effects on Mitral Regurgitation, Left Atrial Function, and Ventricular Function</i> , <u>American Heart Journal</u> , 1089-1098, December 1997 | |
| | | Oh, Joong Hwan, <i>The Effects of Prosthetic Cardiac Binding and Adynamic Cardiomyoplasty in a Model of Dilated Cardiomyopathy</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 116, No. 1, pp. 148-153, 1998 | |
| | | Cohn, Jay N., M.D., <i>Preventing Congestive Heart Failure</i> , <u>American Family Physician</u> , 6 pages, april 15, 1998 | |
| | | Cohn, Jay N., M.D., <i>Structural Basis for Heart Failure: Ventricular Remodeling and Its Pharmacological Inhibition</i> , <u>Circulation</u> , Vol. 91, No. 10, pp. 2504-2507, May 15, 1995 | |
| | | Gaudron, Peter, M.D., et al., <i>Progressive Left Ventricular Dysfunction and Remodeling After Myocardial Infarction</i> , <u>Circulation</u> , vol. 87, pp. 755-763, March 1993 | |
| | | Pfeiffer, Marc A., M.D., et al., <i>Ventricular Remodeling After Myocardial Infarction: Experimental Observations and Clinical Implications</i> , <u>Circulation</u> , Vol. 81, No. 4, pp. 1161-1172, April 1990 | |
| | | Guasp, Francisco Torrent, <i>Una protesis contentiva para el tratamiento de le microcardiopatía dilatada</i> , <u>Revista Española de Cardiología</u> , Vol. 51, No. 7, July 1998 | |

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

| | | | |
|---|------------------------|--|-------------------|
| Substitute for form 1449B/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Application Number | 10/656,722 |
| | | Filing Date | September 5, 2003 |
| | | First Named Inventor | Lilip Lau |
| | | Group Art Unit | 3736 |
| | | Examiner Name | Unassigned |
| Sheet 12 of 14 | Attorney Docket Number | PARCR 66117 | |
| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS | | | |
| Examiner Initials* | Cite No ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | | Power, J.M., et al., <i>Passive Ventricular Constraint Amends the Course of Heart Failure: A Study in an Ovine Model of Dilated Cardiomyopathy</i> , <u>Cardiovascular Research</u> , Vol. 44, pp. 549-555, 1999 | |
| | | Frazier, O.H., M.D., et al., <i>Left Ventricular Assist System as a Bridge to Myocardial Recovery</i> , <u>Annals of Thoracic Surgery</u> , Vol. 68, pp. 734-741, 1999 | |
| | | Melvin, David B., <i>Ventricular Radius Reduction Without Resection: A Computational Analysis</i> , <u>ASAIO Journal</u> , pp. 160-165, 1999 | |
| | | ABSTRACTS -- Heart Failure, JACC February 1999 | |
| | | Raman, Jai S., FRACS, et al., <i>Ventricular Containment as an Adjunctive Procedure in Ischemic Cardiomyopathy: Early Results</i> , <u>Annals of Thoracic Surgery</u> , Vol. 70, pp. 1124-1126, January 2000 | |
| | | McCarthy, Patrick M., et al., <i>Device Based Left Ventricular Shape Change Immediately Reduces Left Ventricular Volume and Increases Ejection Fraction in a Pacing Induced Cardiomyopathy Model in Dogs</i> , JACC, Feb. 2000 | |
| | | Chaudhry, Pervaiz A., M.D., et al., <i>Passive Epicardial Containment Prevents Ventricular Remodeling in Heart Failure</i> , <u>Annals of Thoracic Surgeons</u> , Vol. 70, pp. 1275-1280, 2000 | |
| | | Acorn Cardiovascular, Inc., <u>CSD Specifications Acorn Cardiac Support Device</u> , 2000 | |
| | | <i>Heart "jacket" could help stop heart failure progression</i> , <u>Clinicia</u> , No. 916, July 2000 | |
| | | Acorn Cardiovascular, Inc., <u>CorCap™ Cardiac Support Device Pamphlet</u> , June 2001 | |
| | | <i>Medtronic's InSync Cardiac Resynchronization Therapy Device Approved by FDA</i> , (Press Release) August 28, 2001 | |
| | | Oz, Mehmet C., M.D., <i>Passive Ventricular Constraint for the Treatment of Congestive Heart Failure</i> , <u>Annals of Thoracic Surgery</u> , Vol. 71, pp. 5185-5187, 2001 | |
| | | Abstract Supplement, <u>European Heart Journal</u> , Vol. 22, September 2001 | |
| | | Gorman, J., <i>Self-Sutures: New Material Knots Up On Its Own</i> , <u>Science News</u> , Vol. 161, p. 262, April 27, 2002 | |
| | | Teckell-Taylor, Leah A., et al., <i>Passive Ventricular Restraint With Nitinol Mesh Attenuates Remodeling Following Acute Myocardial Infarction</i> , Abstract, American College of Cardiology (Undated) | |
| | | Mann, Douglas L., M.D., <i>Basic Mechanisms of Remodeling and Reverse Remodeling</i> , presented at 6 th Annual Scientific Meeting of the Heart Failure Society of America, September 24, 2002 | |
| | | Bocchi, Edimar a., M.D., <i>Arrhythmias and Sudden Death After Dynamic Cardiomyoplasty</i> , <u>Circulation</u> , Vol. 90, No. 5, Part 2, pp. II-107 thru II-111, November 1994 | |
| | | Chachques, Juan C., M.D., <i>Study of Muscular and Ventricular Function in Dynamic Cardiomyoplasty: A Ten-Year Follow-Up</i> , <u>The Journal of Heart and Lung Transplantation</u> , Vol. 16, No. 8, pp. 854-868, August 1997 | |
| | | Dullum, Mercedes K.C., M.D., et al., <i>Less Invasive Surgical Management of Heart Failure by Cardiac Support Device Implantation on the Beating Heart</i> , <u>The Heart Surgery Forum</u> , #2001-1818, pp. 361-363, January 4-7, 2001 | |
| | | Macris, Michael P. M.D., et al., <i>Minimally Invasive Access of the Normal Pericardium: Initial Clinical Experience with a Novel Device</i> , <u>Clinical Cardiology</u> , Vol. 22 (Suppl. I), pp. I-36 thru I-39, 1999 | |
| | | Thakur, Ranjan K., M.D., et al., <i>Latissimus Dorsi Dynamic Cardiomyoplasty: Role of Combined ICD Implantation</i> , <u>Journal of Cardiac Surgery</u> , Vol. 10, pp. 295-297, 1995 | |

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

[illegible]

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

| | | | |
|--|----|--------------------------|-------------------|
| Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Complete if Known | |
| | | Application Number | 10/656,722 |
| | | Filing Date | September 5, 2003 |
| | | First Named Inventor | Lilip Lau |
| | | Group Art Unit | 3736 |
| | | Examiner Name | Unassigned |
| | | Attorney Docket Number | PARCR 66117 |
| Sheet | 14 | of | 14 |

[illegible]

59713.1

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.